Office of Corporate Financial Systems
Long Range Systems Plan

July 28, 1997

The Office of CFO has embarked on a project to develop a long range systems plan for the financial systems of the Department. This document is the beginning of this effort.

This CFO/CFS long range planning document is intended to provide a starting point for a group effort to define the direction and goals of the CFO for Information Systems for the future two years and beyond. As such it takes as given the current configuration and the currently expected changes to that configuration in FY 1998. This is out of synchronization with the budget process, because the FY 1999 budget process is well along and this document will not be able to effect it very much. It is assumed as in the past most of the FY 1999 budget estimates are based on continuing existing development efforts and maintenance of current operational systems.

This document begins with references to Information Systems plans of the Department as a whole and then tries to support those plans while providing for the financial systems needs of the Department.

DOE Strategic Plan

The DOE Strategic Plan has the following strategy for Information Management:

The Department will, under the auspices of the Chief Information Officer and in partnership with its customers, utilize an integrated, complex-wide framework for planning, budgeting, evaluating and implementing information management solutions to support accomplishment of agency missions.

Success Measures
- To maximize the use of IM resources, the Department begins in FY 1998 implementation of its five year information management plan and develops and implements annual operational plans as part of the agency's annual budget process.
- By October 1997, the DOE Capital Planning Information Technology (IT) Investment Board, consistent with the ITMR Act, reviews and prioritizes IT investments that support the mission of the Department.
- A Department-wide information architecture with supporting standards promulgated by January 1998 to foster $100 million in cost avoidances over the next five years through the elimination of duplicative or incompatible information systems.
- By December 1999, staff are able to access and share information easily and seamlessly across the DOE complex.

Chief Information Officer

The Chief Information Officer Information Management Strategic Plan has the following goals:

Goal 1:   Increase customer trust by involving them in the information management process.

Goal 2:   Improve understanding of DOE missions and processes in order to provide effective IM support.

Goal 3:   Partner with our customers to plan and implement corporate systems.

Goal 4:   Develop, in concert with our customers, DOE-wide data administration to assure data availability and access.

Goal 5:   Provide customers the technology to access and share information easily and seamlessly anywhere.

Goal 6:   Improve the cooperation and collaboration of the IM Community to cost-effectively meet the IM needs of DOE.

Chief Financial Officer

The CFO Financial Management Strategic Plan has the following goals for Information Technology Architecture :

GOAL: **To meet customer and stakeholder financial management information needs**

The objectives and strategies of this goal define a more structured approach for effectively balancing the need to maintain and improve our current financial systems with the vision of developing new "corporate"systems to enhance our ability to provide the products and services our customers value.

Objective 1: **Centralize and consolidate the Administration of Financial Management Systems.**

TI1-1 Create a Systems Council as outlined in Reorganization Design Team Report

TI1-2 Establish a process for prioritizing systems development and maintenance requirements which facilitates resource allocations.

Objective 2: **Support current financial management systems and complete ongoing improvement efforts**

TI2-1 Complete Management Analysis Reporting System (MARS)

TI2-2 Complete Standard General Ledger (SGL) Development Efforts

TI2-3 Complete Departmental Integrated Standardized Core Accounting System (DISCAS) Accounting Consolidation Initiatives and efficiency improvements.

TI2-4 Complete the Integrated Budget Management Information System initiatives   .

Objective 3: **Implement a financial information system to make useful financial data readily available to customers**

TI3-1 Design, Develop and install an Executive Information System.

Objective 4:   **<u>Develop, acquire and implement a contemporary comprehensive Financial Management System which satisfies customer and stakeholder requirements</u>**

TI4-1   Initiate Strategic Information Management System (SIM) Process focusing on long term financial information requirements

TI4-2   Design, develop and implement the new Financial Management System.

Definitions

In order to establish common framework for discussion, the following list of definitions is provided. To the extent possible an official source will be provided for all definitions.

Office of Management and Budget (OMB)

OMB Circular A-130 defines an <u>information system</u> as follows:

> "n. The term "information system" means a discrete set of information resources organized for the collection, processing, maintenance, transmission, and dissemination of information, in accordance with defined procedures, whether automated or manual."

The OMB circular A-130 also defines <u>information resources management</u>:

> "m. The term "information resources management" means the process of managing information resources to accomplish agency missions. The term encompasses both information itself and the related resources, such as personnel, equipment, funds, and information technology."

Information Technology Management Reform Act (ITMRA) of 1996, (Public Law 104-106, Section 2, Division E) defines <u>information technology</u> as follows:

> "The term "information technology", with respect to an executive agency means any equipment or interconnected system or subsystem of equipment, that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information by the executive agency." This definition includes equipment used by a contractor under a contract which requires the use of such equipment, or requires the use, to a significant extent, of such equipment in the perfomance of a service or the furnishing of a product.

National Performance Review

The following definitions are from the "Federal Benchmarking Consortium Study report, titled, "Serving the American Public: Best Practices in Customer-Driven Strategic Planning", dated February 1997, produced under the National Performance Review banner.

Customers -   The person or group who establishes the requirement of a process and receives or uses the outputs of that process; or the person or entity directly served by the department or agency.

Stakeholder - Any person, group, or organization that can place a claim on, or influence, the organization's resources or outputs, is affected by those outputs, or has an interest in or expectation of the organization.

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Draft Outline - CFS Strategic Planning Document
as of July 22, 1997

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EXECUTIVE SUMMARY - 1 page (write last)

INTRODUCTION
>   Purpose of Strategic Planning
>>   Identify baseline of operations/activities of CFS
>>   Identify short-term objectives (next 18 months)
>>   Identify long-range issues
>>   Dovetail plan to other DOE planning initiatives and guidelines
>>   Provide recommendations for immediate action
>>   Provide outline of next step in planning
>   Project Schedule (MS Project - Summary with GANT Chart)
>   (Project Approach?)
>>   Scope - primarily within CFO
>>   Methodology
>   Overview of this document

CURRENT TECHNICAL ENVIRONMENT
>   Introduction - Summary of current systems architecture and technical environment
>>   Top-down breakout (Walter's charts)
>   Inventory of operational systems and activities supported by CFS
>>   *[For each of the following: these subsections*
>>>   *System name*
>>>   *Number of FTEs currently supporting*
>>>   *Current Budget (including contractor support)*
>>>   *Cumulative cost last 3 years*
>>>   *Budgeted cost next FY*
>>>   *System Function*
>>>   *System Interfaces*
>>>   *System Owner*
>>>   *Primary System User]*
>>   SIFMIS
>>   Accounting
>>   Budget Execution
>>   Budget Formulation
>>   LAN
>>   AOSS Support
>   Inventory of systems currently under development
>>   *[For each of the following: these subsections*
>>>   *System name*
>>>   *Number of FTEs currently supporting*
>>>   *Current Budget (including contractor support)*
>>>   *Cumulative cost last 3 years*

Draft Outline - CFS Strategic Planning Document
as of July 22, 1997

Budgeted cost next FY
System Function
System Interfaces
System Owner
Primary System User]

Executive Information
Financial Data Warehouse
Others?

Inventories (could be appendix)
Hardware platforms used/supported by CFS
Critical software used/supported by CFS
Interfaces within CFS systems
Interfaces to systems outside CFS control

Areas/systems under consideration for development/enhancement near-term
FMIS
Others?

Limitations/Problems with Current Technical Environment
Redundancy in Data Input
Needed functional areas not currently addressed

CURRENT BUSINESS ENVIRONMENT

Constraints on Planning and Operations - how does each of the following impact CFS?
Legislation
Presidential Performance Review
Secretary of Energy's Strategic Plan
CFO Strategic Planning - which items relevant to CFS planning
GAO/IG
OMB
GSA Schedule
Budget Constraints

Supporting Current Systems

Customers of CFS
Offices within CFO
Offices outside CFO - who are important; what is the relationship
Field Organizations

CFS Business Objectives

Limitations of Current Business Environment

FUTURE ENVIRONMENT

Technology: Expected components of new technology
Web-based communications
More distributed processing

GUI user environment - Windows or NT
Different use of mainframes
Volatility of technical environment
Planned Systems Architecture -
Walter's diagram revised and explanatory narrative
Areas of Planned Development for Next 18 months (what's already on drawing board)
Support of key systems
Replacement of FMIS
Expected role of EIS/FDW
Expected role of the LAN

ISSUES and IMPACTS
Human Resource Management: staffing issues
Training
Need for staff upgrading
Dealing with budget constraints
LAN Issues?
Security and Controls
Contingencies
Backups
Fault Tolerance
Standard Operating Procedures
Performance Measure

SUMMARY AND RECOMMENDATIONS
Planning Strategy Defined/Summarized
Obtain Planning Project Resources
Roles and Responsibilities -what work products?
Rules of engagement (How often get together, etc)
Create baseline inventory of operations
Analyse baseline systems for deficiencies
Prioritize deficiencies
Prepare for Step 2: Analysis of CFS data and data requirements

DOE Financial Systems Context Diagram

Executive Office of the President	Congress	GAO	Treasury	Other Federal Agencies

DOE Financial Systems

- Departmental Management
- Public
- Procurement
- Human Resources
- Integrated Contractors
- Program Offices
- Field Offices
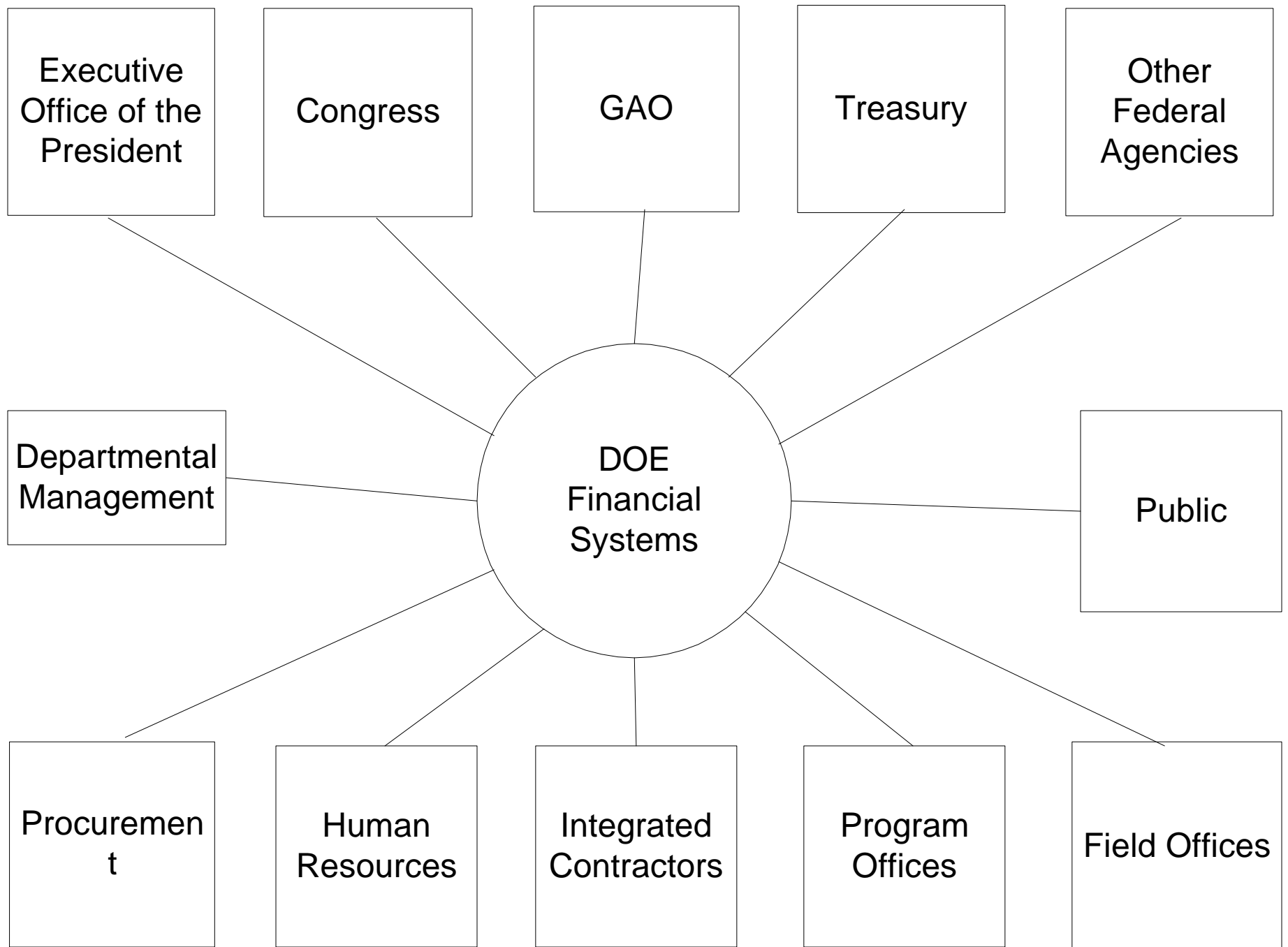
EXECUTIVE OFFICE OF THE PRESIDENT

Office of Management and Budget (OMB)

OMB Circular A-11 "Preparation and Submission of Budget Estimates"

MAX Budget Data System

Budget Justification Documents for review and comment

Witness Statements for review and comment

Questions and Answers for the record for review and comment

OMB Circular A-34 "Instructions for Budget Execution"

SF-132 "Apportionment and Reapportionment Request"

SF-133 "Report on Budget Execution"

Reprogramming Requests

Office of Science and Technology Policy (OSTP)

Research and Development activity data

National Science and Technology Coordinating Council (NSTCC)

Crosscut activity data

DOE Financial Systems

Energy Regulatory Commission

Power Marketing Systems (4)

Bonneville Power Administration

Executive Information

Primary Acounting System

Assets & Inventories

Budget Formulation System

Personnel

Procurement & Assistance Data System

Program Resource Management

Integrated Contractor Accounting
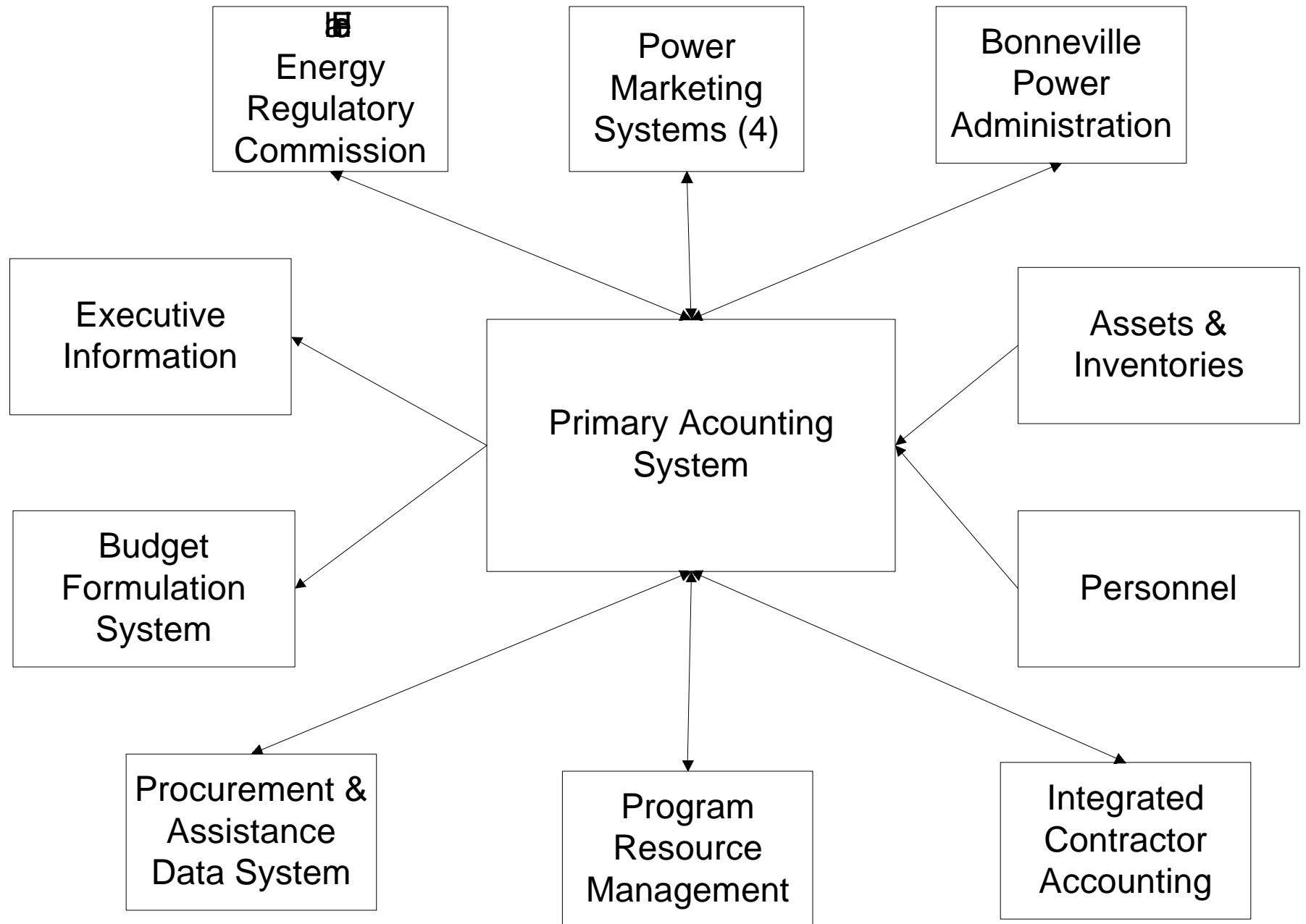
Departmental Primary Accounting System (DPAS)

Allottment Holders

Funds Distrtibution System (FDS)

Approved Funding Program (AFP) Recipients

Consolidated Accounting Centers

Travel Manager

Payments

Departmental Standard Integrated Core Accounting System (DISCAS)

Capitol Accounting Center Only

Payroll/ Labor Distribution

Working Capital Fund

Grants Management

Management Analysis & Reporting System (MARS)/ Financial Information System (FIS)

Departmental Inventory Management System

Special Deposit & Escrow Accounting

Headquarters Working Capital Fund

Capitol Accounting Center

Monthly Summary

Infinity Accounting Modules

Monthly Summary

Monthly Summary

Monthly Summary

| Phones and Networks | Desktop Services |

| Audits | Contract Closeout |

| Printing and Graphics | Postage and Mail Delivery | Supplies | Copying | Building Occupancy |
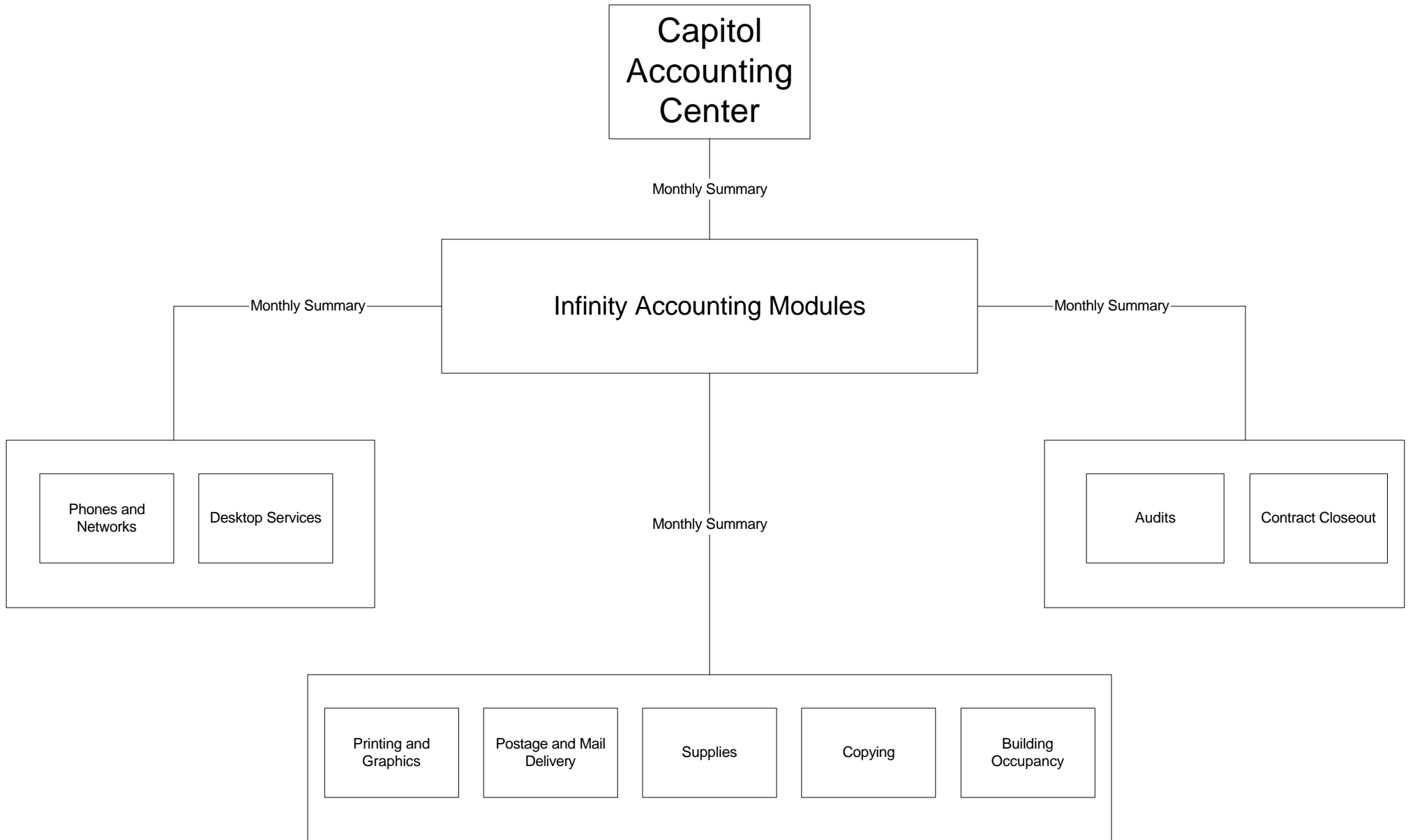
Departmental Budget Formulation System (DBFS)
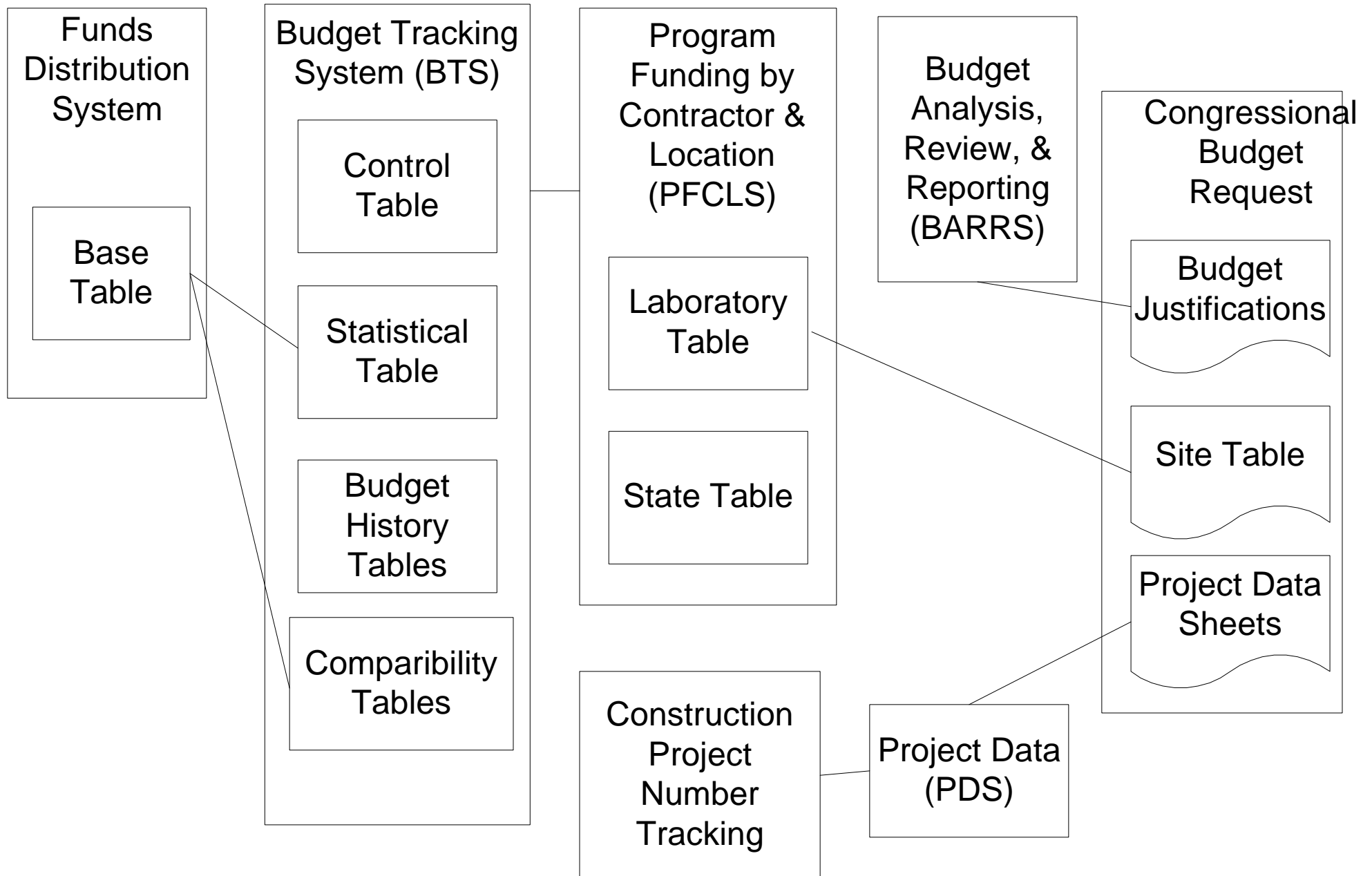
Funds Distribution System	Budget Tracking System (BTS)	Program Funding by Contractor & Location (PFCLS)	Budget Analysis, Review, & Reporting (BARRS)	Congressional Budget Request
Base Table	Control Table	Laboratory Table		Budget Justifications
	Statistical Table	State Table		Site Table
	Budget History Tables			Project Data Sheets
	Comparibility Tables			

Construction Project Number Tracking

Project Data (PDS)

Product Line	u n c	Category Titles and Systems, Programs or Projects	Life Cycle Phase*	Capital Equipment	Other Equipment	Capital Software	Other Software	Support	Services	Supplies	e d e	Total $ in Thousands
1		Program Management for IM										0.0
1.1		Planning and Budgeting										0.0
1.1.1		CR Project Management and Planning										0.0
1.2		Procurement Management										0.0
1.2.1		CR Logistics Management										0.0
2		IM Systems, Programs & Projects										0.0
2.1		Departmental/Corporate										0.0
		FDS	O&M				300.0					300.0
		MARS	DI&I				400.0					400.0
		DISCAS	O&M				450.0					450.0
		FIS/BARC	O&M				100.0					100.0
		FMIS	R&A								1	0.0
2.2		Collaborative/Multi-Organization										0.0
		People Express	DI&I				20.0					20.0
		Gartner Group	R&A						8.0			8.0
		Applix Help Desk Initiative	DI&I					17.0				17.0
		Financial Data Warehouse	DI&I				350.0					350.0
		EIS	DI&I									0.0
		Electronic Commerce EDI	DI&I					5.0				5.0
		R&D Tracking System	O&M									0.0
		BARRS	O&M									0.0
		Project Data System (PDS)	O&M									0.0
		Program Activity by Location System (PAL	DI&I				95.0					95.0
2.3		Organization/Mission Specific										0.0
		GOALS/OPAC	O&M						46.0			46.0
		LEXIS/NEXIS	O&M						4.0			4.0
		LDS/COTS	O&M				100.0					100.0
		Computer Telephone Integration	O&M				10.0					10.0
		Travel Manager	DI&I				62.0	10.3	15.0			87.3
		Budget Tracking System (BTS)	O&M				50.0					50.0
		DARTS	O&M				110.0					110.0
		VITALS/CLOGNET/Personnel/FCRS/SPA	O&M				110.0					110.0
		Outlay Forecasting System	O&M									0.0
		Federal Reserve Bank	O&M						1.0			1.0
		Credit Bureau Reporting	O&M						2.0			2.0
		Data Entry (Soza)	O&M					55.0				55.0
2.4		Desk Top/Work Group (Commercial Off the Shelf)										0.0
		Lotus 1,2,3/Excel										0.0
		WordPerfect/MSWord						1.0					1.0
		Corel/Harvard/MSPowerPoint Graphics										0.0
		VISIO										0.0
3		Infrastructure										0.0
3.1		Workstation/Desktop/User Interface										0.0

Product Line	unc	Category Titles and Systems, Programs or Projects	Life Cycle Phase*	Capital Equipment	Other Equipment	Capital Software	Other Software	Support	Services	Supplies	ede	Total $ in Thousands
		Desktop Maintenance	WCF						70.0			70.0
		Client Software					13.7					13.7
		License renewals					5.0					5.0
		Windows 95/NT					45.0					45.0
		PC Hardware			78.3							78.3
		Cell Phones							1.2			1.2
		Pager Maintenance							3.0			3.0
3.2		Networks										0.0
		Local Area Network Infrastructure	WCF						148.0			
		Server Maintenance							13.4			13.4
		Server Software										0.0
		License renewals							7.4			7.4
		New licenses										0.0
		Fault Tolerence					37.0					37.0
		Security					28.0					28.0
		Centralized Management					35.0					35.0
		Server Hardware										0.0
		Remote Access		26								26.0
		Other Hardware			63.2							63.2
		Cabling, Routers, Concentrators, etc										0.0
		End User and Network Support Staff						490.0				490.0
		DOE Business Network							125.0			125.0
		ALO/ORO Contribution							-80.0			-80.0
3.3		Other Processors										0.0
		Web Server										0.0
		Web Site 2.0					1.0					1.0
		Cold Fusion 3.0					1.0					1.0
		Hewlett-Packard										0.0
		Hardware		50								50.0
		Maintenance							350.0			350.0
		ALO/ORO Contribution							-120.0			-120.0
		Support Staff						450.0				450.0
		TOTAL $ in Thousands		76	141.5	0.0	2,323.7	1,027.3	594.0	0.0	1	4,162.5
		* Life Cycle Phase: R&A - Research and Analysis; DI&I - Development, Integration, and Implementation; O&M - Operation and Maintenance;										
		WCF - Working Capital Fund.										